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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/870,584	06/01/2001	Frank W. Sudia	P 264493 AUTH-II	9326
909	7590	12/09/2003	EXAMINER	
PILLSBURY WINTHROP, LLP			SEAL, JAMES	
P.O. BOX 10500			ART UNIT	
MCLEAN, VA 22102			PAPER NUMBER	
			2131	
DATE MAILED: 12/09/2003				

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Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	<b>Application No.</b>	<b>Applicant(s)</b>	
	09/870,584	SUDIA ET AL.	
	<b>Examiner</b>	<b>Art Unit</b>	
	James Seal	2131	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 01 June 2001.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1 and 17 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1 and 17 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 20 November 2001 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. §§ 119 and 120**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  
a) ☐ All   b) ☐ Some \* c) ☐ None of:  
1. ☐ Certified copies of the priority documents have been received.  
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.  
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).  
\* See the attached detailed Office action for a list of the certified copies not received.
- 13) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application) since a specific reference was included in the first sentence of the specification or in an Application Data Sheet. 37 CFR 1.78.  
a) ☐ The translation of the foreign language provisional application has been received.
- 14) ☒ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121 since a specific reference was included in the first sentence of the specification or in an Application Data Sheet. 37 CFR 1.78.

**Attachment(s)**

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)                  | 4) <input type="checkbox"/> Interview Summary (PTO-413) Paper No(s). _____  |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)         | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449) Paper No(s) _____ | 6) <input type="checkbox"/> Other: _____                                    |

**DETAILED ACTION**

1. This Action is in response to applicant's correspondence of 1 June 2001.
2. Claims 2-16 cancelled without prejudice.
3. Claims 1 and 17 pending.

***Claim Rejections - 35 USC § 112***

The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

4. Claim 17 is rejected under 35 USC § 112 second paragraph as the claims refers to claims which have been cancelled by amendment and further part (b) refers to allowed locations at which the document is to be created and assuming the applicant means this claim to refer to claim 1, claim 1 refers to a cryptographic system at a particular location, and does not refer to communication systems or networks. Thus it is not clear how this limitation is suppose to work.
5. For the purpose of applying prior art, the examiner will that claim 17 refers to claim 1 and that the cryptographic system in claim 1 is attached to a communication system or network.

***Claim Rejections - 35 USC § 103***

Claims 1 and 17 are rejected under 35 U.S.C. 103(a) as being unpatentable over Gasser et. al. US 5,224,163 A and further in view of Ostrovover et. al. US 5450489 A.

6. As per claim 1, the limitation of a cryptosystem system ( we shall further assume that the system is attached to a distributed system so that claim 17 can be interpreted)

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such as a network is disclosed by Gasser see Column 4, lines 59-68, and Column 5.

Here Gasser describes a system for authenticating , encrypting/decrypting, signing and key generation as well as carrying out security policy and thus a cryptographic system.

The limitation of a certifying authority issuing digital certificates for identifying users of the system (section 5.3 discloses the certification authorities CA and certificates they issues, such CA are set up for identifying a principal which may be an individual or group of individuals Column 6 lines 40-45. Such digital certificates are signed with a private key of the CA Column 7, lines 31-32. The public key of the CA may be used to validate the certificate Column 7 line 34-35. The limitation that the user's transaction (request for resources or services) in the cryptographic system Column 1, lines 64-68 requires verification by a recipient of user request Column 3, lines 9-15; Column 5, lines 16-22 and Column 10, lines 31-40 and Column 12 lines 59-68 Column 13 lines 1-19.

The limitation that the verification based on information in said digital certificates and requiring said public key (that is the entity possessing the private key that corresponds to the public key is able to validate) Column 15, lines 35-39, establishing a means of controlling access to said public keys Column 3, lines 14-15; Column 6, lines 57-65, such that access to the public keys (stored in a GNS). Gasser is silent on the limitation of controlling the public key by the recipient by requiring as part of the security policies the signing of a non disclosure agreement (NDA). Ostrover teaches a means of using the public keys as vendors keys (software publisher) for DVD players Column 3, lines 33-38, Column 22, lines 8-13; lines 26-31. However the public keys are vendors public keys and must be kept secret. Thus it would have been obvious to one of ordinary skill

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in the art at the time that the invention was made, to have modified Gasser to allow such non disclosure policies because often times the public keys such as those of software publishers not empowered to authorize standard N on a disk, would be prevented from copyright infringements Column 23, lines 4-6. Claim 1 is rejected.

7. The limitations of allowing the type of request (transactions) to restrict the request type (e.g. what resources may be requested), locations (what sites may be used which may not), restrict the time which the resource may be used , time period which the request is valid see Column 8, line 46, limit the cost that may be incurred by such request, delegation of such request to another (thus involving a second person in the request for resources) see Section 8 of Gasser are general management policies used on a distributed system and it would have been obvious for one of ordinary skill in the art at the time of the invention to have implemented them in the Gasser system because they allow optimizing the use of resources on a distributed system.

### ***Conclusion***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to James Seal whose telephone number is 703 308 4562. The examiner can normally be reached on M-F, 8-5.

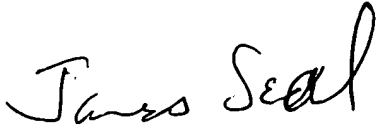
If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Ayaz Sheikh can be reached on 703 305 9658 . The fax phone number for the organization where this application or proceeding is assigned is 703 746 7239.

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Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is 703 308 3900.

A handwritten signature in black ink that reads "James Seal". The signature is written in a cursive, flowing style.

James Seal  
Examiner AU 2131  
5 December 2003